United States Court of Appeals for the Second Circuit



APPELLEE'S BRIEF

Docket 74-2092 To be argued by: No. 74-2092

IN THE United States Court of Appeals For the Second Circuit

JO DAVIS MORTENSON.

Appellant,

SYRACUSE UNIVERSITY, et al.,

Appellees.

On Appeal from the United States District Court Northern District of New York

> BRIEF FOR APPELLEES, Syracuse University, et al.

> > BOND, SCHOENECK & KING Attorneys for Appellees One Lincoln Center Syracuse, New York 13202 Telephone: (315) 422-0121

William F. Fitzpatrick, Esq. David N., Sexton, Esq. Of Counsel

SPAULDING LAW PRINTING CO., SYRACUSE, N. Y. (6884)



V

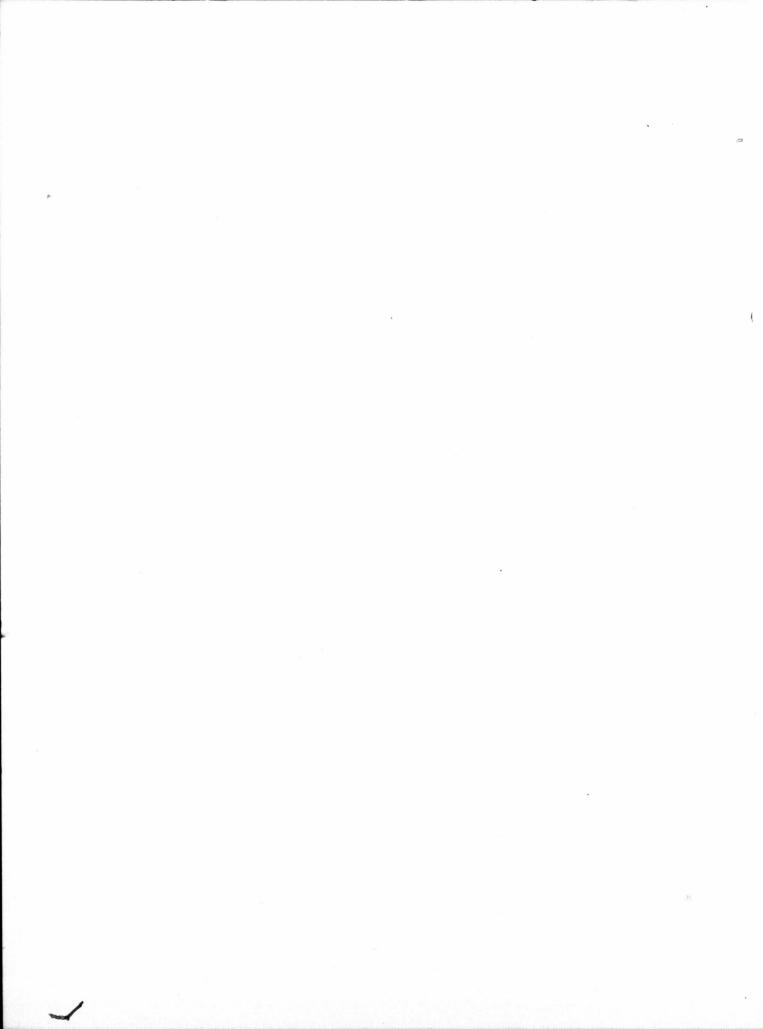


TABLE OF CONTENTS

ä								Page
STATEMENT OF TH	HE ISSUES .							1
STATEMENT OF TH	HE CASE							2
ARGUMENT								
POINT I -	NO JURISD 28 U.S.C. BASED UPO AMENDMENT CONSTITUT TION 1983 OF 1871).	\$1343 N THE OF TH ION OR (THE	(3) A FOURTE E UNIT 42 U.	ND (4 ENTH ED ST	A) TATE: SEC-	_		3
POINT II -	THE 1972 A RIGHTS AC EDUCATIONA RETROACTIVE	T OF 1	964 CO	NCERI	NING			11
POINT III -	JO DAVIS N PROPER REI SHE CLAIMS	PRESEN	TATIVE	OF 7	THE (CLA	ss • •	16
CONCLUSION								22

TABLE OF AUTHORITIES

Cases	Page
Banks v. Lockheed-Georgia Co. 46 F.R.D. 442 (N.D. Ga. 1968)	16
Belk v. Chancellor of Washington University 336 F. Supp. 45 (E.D. Mo. 1970)	8
Blackburn v. Fisk University 443 F.2d 121 (6th Cir. 1971)	4, 8
Bond v. Dentzer 494 F.2d 302 (2d Cir. 1974)	6
Braden v. University of Pittsburgh 477 F.2d l (3rd Cir. 1973)	9
Brownley v. Gettysburg College 338 F. Supp. 725 (M.D. Pa. 1972)	8
Burton v. Wilmington Parking Authority 365 U.S. 715 (1961)	3
Calhoun v. Riverside Research InstituteF. Supp, 71 Civ. 2734 (S.D.N.Y. 1972)	20
Cannon v. Texas Gulf Sulfur Co. 53 F.R.D. 216 (S.D.N.Y. 1971)	16
Coleman v. Wagner College 429 F.2d 1120 (2d Cir. 1970)	6, 7
Contract Buyers League v. F. & F. Investment 48 F.R.D. 7 (N.D. III. 1969)	16
Food Employees v. Logan Valley Plaza 391 U.S. 308 (1968)	3
Furumoto v. Lyman 362 F. Supp. 1267 (N.D. Cal. 1973)	7, 10
Gordon v. Baker Protective Services, Inc. 358 F. Supp. 867 (N.D. Ill. 1973)	14
Grafton v. Brooklyn Law School 478 F.2d 1137 (2d Cir. 1973)	4, 6, 9, 10

Cases	Page
Grossner v. Trustees of Columbia University 287 F. Supp. 535 (S.D.N.Y. 1968)	. 4, 5
Guillroy v. Administrators of Tulane University 203 F. Supp. 855 (E.D. La. 1962)	. 8
Hyatt v. United Aircraft Corp. 50 F.R.D. 242 (D.C. Conn. 1970)	. 17
Johnson v. Lillie Rubin Affiliates, Inc. F. Supp. No. 5943 (M.D. Tenn. 1973)	
Johnson v. University of Pittsburgh 359 F. Supp. 1002 (W.D. Pa. 1973)	. 15
Kinsey v. Legg, Mason & Co. 60 F.R.D. 91 (D.D.C. 1973)	. 19
Kinzler v. New York Stock Exchange 53 F.R.D. 75 (S.D.N.Y. 1971)	. 16
Koger v. Ball 497 F.2d 702 (4th Cir. 1974)	. 12
Monroe v. Pape 365 U.S. 167 (1961)	
Moore v. Sunbeam Corp. 459 F.2d 811 (7th Cir. 1972)	
Moose Lodge v. Irvis 407 U.S. 163 (1973)	
Norton v. McShane 332 F.2d 855 (5th Cir. 1964)	
Oatis v. Crown Zellerbach Corp. 398 F.2d 496 (5th Cir. 1968)	
O'Connell v. Teachers College F. Supp., 73 Civ. 4299 (S.D.N.Y. 1974)	. 18
Pendrell v. Chatham College 370 F. Supp. 494 (W.D. Pa. 1974)	. 7, 8
Place v. Weinberger 497 F.2d 412 (6th Cir. 1974)	. 12

Cases	Page
Powe v. Miles 407 F.2d 73 (2d Cir. 1968)	. 4, 5, 6, 10
Shirley v. State National Bank 493 F.2d 739 (2d Cir. 1974)	. 6
<u>United States v. Price</u> 383 U.S. 787 (1966)	. 3
Vymetalik v. Secretary of Commerce F. Supp. No. 2211-72 (D.D.C. 1974)	. 13
Ward v. St. Anthony's Hospital 476 F.2d 671 (10th Cir. 1973)	. 4
Womack v. Lynn F.2d, No. 72-1827, (D.C. Cir. 1974)	. 12
Statutes	
U. S. Const. amend XIV	. 3, 9, 11
42 U.S.C. §1983 (Civil Rights Ac+ of 1871)	. 3, 4, 9
42 U.S.C. §2000e et. seq. (Civil Rights Act of 1964, amended)	
42 U.S.C. §2000e-5	. 13
42 U.S.C. §2000e-16	. 12, 13
Rules	
Fed. R. Civ. P. 23	. 16,17,19,20,21
Miscellaneous	
Statement of Theodore M. Hesburgh in Chronicle of Higher Education of October 23, 1973, P. 6	. 10, 11

IN THE United States Court of Appeals For the Second Circuit

JO DAVIS MORTENSON,

Appellant,

-v-

SYRACUSE UNIVERSITY, et al.,

Appellees

On Appeal from the United States District Court Northern District of New York

BRIEF FOR APPELLEES,

SYRACUSE UNIVERSITY, et al

STATEMENT OF THE ISSUES

- 1. Is there sufficient State involvement in faculty promotion and tenure procedures at Syracuse University to confer standing upon a federal court under 28 U.S.C. \$1343(3) and (4)?
- 2. Are the 1972 amendments to the Civil Rights Act of 1964 (42 U.S.C. §2000e et. seq.) retroactive as to acts completed prior to the effective date of the Act?
 - 3. Is appellant a proper class representative?

STATEMENT OF THE CASE

Jo Davis Mortenson, a former faculty member in the Department of English at Syracuse University, brought an action in the Federal District Court for the Northern District of New York, against the defendant, Syracuse University, various present and former administrators of Syracuse University, individual faculty members, and the Executive and Tenure Committees of the English Department, alleging discrimination based on sex and claiming jurisdiction under the Fourteenth Amendment to the United States Constitution; the Civil Rights Act of 1871 (42 U.S.C. §1983 and 1985); Title VII of the Civil Rights Act of 1964 (42 U.S.C. 2000e et. seq.) and Executive Order 11246, as amended by Executive Order 11375.

Additionally, appellant requested that her action be maintained as a class action "on behalf of herself and on behalf of all other women who, because of their sex, and solely because of their sex, have been, are being, and will continue to be denied access and retention to, and promotions and tenure in, faculty positions at Syracuse University in contravention of the United States Constitution and the various acts of Congress which prohibit discrimination based on sex".

Upon motion of the appellees, the District Court dismissed the complaint on various jurisdictional grounds and determined that the class action was not appropriate.

POINT I

NO JURISDICTION EXISTS UNDER 28 U.S.C. §1343 (3) AND (4) BASED UPON THE FOURTEENTH AMEND-MENT OF THE UNITED STATES CONSTITUTION OR 42 U.S.C. SECTION 1983 (THE CIVIL RIGHTS ACT OF 1871).

under both the Fourteenth Amendment and 42 U.S.C. Section 1983 must be based upon state action. Monroe v. Pape, 365 U.S. 167 (1961); United States v. Price, 383 U.S. 787 (1966). Private activities, such as those of Syracuse University, can be held to involve state activity only if the acts can be viewed as governmental in nature, see Food Employees v. Logan Valley Plaza, 391 U.S. 308 (1968); or if the state government is directly involved in the activity in question; see Burton v. Wilmington Parking Authority, 365 U.S. 715 (1961).

Appellant has attempted to allege state action at Syracuse University by the bare and conclusory statements in Paragraphs 41, 42 and 43 of the complaint alleging federal and state funding of programming at Syracuse University and alleging the regulation and supervision of Syracuse University by various state agencies. These allegations do not justify a finding of state action.

Federal support or control is not relevant to claims brought under the Fourteenth Amendment or under 42 U.S.C. Section 1983 since each concerns state, not federal, action; see Grossner v. Trustees of Columbia University, 287 F. Supp. 535, 547 (S.D.N.Y. 1968) ("the jurisdiction upon which plaintiff's call is available for state, not federal action"); Ward v. St. Anthony's Hospital, 476 F.2d 671 (10th Cir. 1973); Blackburn v. Fisk University, 443 F.2d 121, 123 (6th Cir. 1971); and Norton v. McShane, 332 F.2d 855, 862 (5th Cir. 1964); cert. denied, 380 U.S. 981.

Nor is state funding alone sufficient to constitute state action. The affidavit of Clifford Winters makes it clear that the state funds provided Syracuse University constitute a minute percentage of the school's budget (3.6% in fiscal year 1973) and can in no way justify a finding of state action. In Powe v. Miles, 407 F.2d 73, 81 (2d Cir. 1968) the Court found that state aid to Alfred College through scholarships and funding of its Ceramic College was far from being so dominant as to afford any basis for a contention that this state financing resulted in state activity. More recently, in Grafton v. Brooklyn Law School, 478 F.2d 1137 (2d Cir. 1973), this Court reiterated that position: "...the mere making of an outright grant amounting to a fraction of the actual cost of conferring a degree does

not suffice to make the school the agent of the state". <u>Id</u>. at 1142. <u>See also Grossner v. Trustees of Columbia University</u>, <u>supra</u>, in which the court recognized that state funding alone does not constitute state action:

Receipt of money from the state is not, without a good deal more, enough to make the recipient an agent or instrumentality of the government. Otherwise, all kinds of contractors and enterprises, increasingly dependent upon government business for much larger proportions of income than those here in question, would find themselves with 'state action' in the performance of all kinds of functions we still consider and treat as essentially 'private' for all presently relevant purposes.

Id. at 547-548.

Appellant's third allegation, that Syracuse University is regulated and supervised by various state agencies, also fails to prove state action. Syracuse University is a private non-profit institution. Its actions in faculty promotion and tenure decisions (the issues involved in this case) are not governmental in nature nor is the government directly involved in these activities. The Second Circuit in <u>Powe v. Miles</u>, <u>supra</u>, recognized this distinction stating:

The state must be involved not simply with some activity of the institution alleged to have inflicted injury upon a plaintiff but with the activity that caused the injury. Putting the point another way, the state action, not the private action must be the subject of the complaint. [citations omitted]...but the fact that New York has exercised some regulatory powers over

the standard of education offered by Alfred University does not implicate it generally in Alfred's policies towards demonstrations and discipline.

Id. at 81. (emphasis added)

This rule was aptly demonstrated in Coleman v. Wagner College, 429 F.2d 1120 (2d Cir. 1970) where the state, through legislation, potentially involved itself with campus disruptions, the subject matter of the suit. court recognized that these specific controls may have resulted in state involvement in specific areas of discipline and remanded the matter for a further hearing by the district court. It is clear that it is only with those particular activities subject to state control that state action may be found. See Powe v. Miles, 407 F.2d 73 (2d Cir. 1968) and Grafton v. Brooklyn Law School, 478 F.2d 1137 (2d Cir. 1973). See also Shirley v. State National Bank, 493 F.2d 739 (2d Cir. 1974) and Bond v. Dentzer, 494 F.2d 302 (2d Cir. 1974) ("[T]here, we find no state action since there is no significant involvement of the state in the challenged conduct.") (emphasis added).

In <u>Grafton v. Brooklyn Law School</u>, <u>supra</u>, at 1141, the Second Circuit reaffirmed its position stated in <u>Powe v.</u>

<u>Miles</u>, <u>supra</u>, that the mere regulation of educational standards by the State of New York does not in itself constitute state action. Further, in Grafton, supra, the Court distinguished

that the regulation of law schools by the New York Court of Appeals does not result in state action. The Court recognized that "Brooklyn Law School's giving of examinations has none of the symbolic character of the disciplinary rules and regulations of Wagner College which loudly announced that they had been adopted in accordance with the newly enacted statute". Id. at 1143. See Moose Lodge v. Irvis, 407 U.S. 163 (1973); and Pendrell v. Chatham College, 370 F. Supp.

Thus, the critical question concerning state action in a private institution is, what control does the state have over the subject matter of the action? In this case which concerns a private university's faculty promotion and tenure decisions, there is and can be no showing of state control. The state simply does not regulate these areas. Recently, in <u>Furumoto v. Lyman</u>, 362 F. Supp. 1267 (N.D.Cal. 1973) the Court found no state action at Stanford University stating:

A finding of general state action here would require more than an accumulation of the state benefits or regulations cited by plaintiff. These factors do not establish state control or the inherently governmental nature of the university. Plaintiffs have not demonstrated that Stanford is controlled by the State of California or that Stanford does not have a substantial sphere of private, independent authority and initiative.

The state's grant to Stanford of corporate powers and privileges is not evidence of state control. The state has thus merely given Stanford substantially the same corporate powers and privileges given to any corporation formed under its laws... Even if the state directly subsidizes the university, this financial aid would not necessitate a finding of state control. The question would then be what control did the state obtain over the university. Here the record is barren as to any control.

Id: at 1278-1279.

See also Brownley v. Gettysburg College, 338 F. Supp. 725 (M.D. Pa. 1972); Blackburn v. Fisk University, 443 F.2d 121 (6th Cir. 1971), and Pendrell v. Chatham College, supra.

Two courts have found state action in the activities of private universities; Belk v. Chancellor of Washington University, 336 F. Supp. 45 (E. D. Mo. 1970) and Guillroy v. Administrators of Tulane University, 203 F. Supp. 855 (E. D. La. 1962). Both decisions, however, have been criticized by other courts and are of questionable authority. In Pendrell v. Chatham College, supra, the court distinguished both cases on their facts and rejected both "on the basis of their inapposite reasoning". And, in Furumoto v. Lyman, supra, the court distinguished both Guillroy, supra, and Belk, supra, and stated at 1277n22:

The authoritativeness of the <u>Guillroy</u> decision relied upon by plaintiff is questionable in light of its later history. The summary judgment in that case was subsequently set aside, the temporary injunction vacated, and a new trial granted.

These actions were upheld on appeal, 306 F.2d 489 (5th Cir. 1962). After a trial, the district court found that state action was lacking, but that no court could enforce any racial restrictions is private covenants and thus that the Tulane board was free of those restrictions. 212 F. Supp. 674 (E. D. La. 1962)

It is clear from the allegations in the complaint and the affidavits submitted by appellant and the appellees that no state action under the Fourteenth Amendment or under 42 U.S.C. Section 1983 exists.

There is no need for hearing in the case at hand. Recently, the Third Circuit did reverse a district court's decision and ordered that a hearing be held concerning the the existence of state action at the University of Pittsburgh, Braden v. University of Pittsburgh, 477 F.2d 1 (3rd Cir. 1973). In Braden, the State of Pennsylvania had the power to appoint at least one-third of the University of Pittsburgh's trustees, and a Pennsylvania Statute referred to the University of Pittsburgh as an "instrumentality of the Commonwealth". 477 F.2d at 6, 7. The Braden decision was based upon the unique structure of the University of Pittsburgh and its holding is not applicable to the issues before this Court.

In any event, the decision of the Third Circuit does not affect the position of the Second Court of Appeals. The Second Circuit in Grafton v. Brooklyn Law School, 478

F.2d 1137 (2d Cir. 1973) upheld a district court's determination of no state action based upon facts present in the complaint and in affidavits. In Furumoto v. Lyman, 302 F. Supp. 1267 (N. D. Cal. 1973), summary judgment was granted defendants based upon motion papers alone. The district court had before it the three basic allegations of state action made by plaintiff and defendants response to them.

No further relevant information would be gained through hearings. The Second Circuit's position on state action has been clearly stated in Powe v. Miles and Grafton v. Brooklyn Law School, supra, and this matter was properly determined by the court without a hearing.

Appellant argues that the courts are more willing to find state action in cases dealing with racial discrimination and that such rulings are applicable to the case at hand involving alleged discrimination based upon sex. No indicia of state action exists at Syracuse University which would justify the Court's finding of state action even if racial discrimination were involved. More importantly, however, plaintiff is incorrect in her attempt to equate racial and sexual discrimination. This has been recognized by the Reverend Theodore M. Hesburgh, President of the University of Notre Dame and former head of the United States Commission on Civil Rights, who stated:

It is an illusion to equate the problems of blacks and Chicanos with those of women. If and when women put their minds and efforts seriously to the solution of the inequalities that exist between themselves and men, they will make rapid progress in righting the wrongs, as is now beginning to happen.

Not so, for the deep-rooted inequities that blacksmen and more especially women-suffer. The color problem is far more difficult of solution, far more influenced by deep-rooted prejudice than the problems of gender. (Emphasis added) P. 6, Chronicle of Higher Education, Oct. 23, 1973.

POINT II

THE 1972 AMENDMENTS TO THE CIVIL RIGHTS ACT OF 1964 CONCERNING EDUCATIONAL INSTITUTIONS ARE NOT RETROACTIVE.

Appellant alleged in her complaint that she was terminated from a faculty position on June 1, 1971. The amendments to Title VII were not effective until March 24, 1972. These amendments made educational institutions subject to the Act for the first time for its employment in educational positions (42 U.S.C. §2000e-1). Acts which occurred prior to the effective date of the amendment may not be allowed as a basis for a Title VII action. Various courts have divided concerning the retroactivity of the 1972 amendments of Title VII that apply to the Federal Government with some finding that the Act is not retroactive while

others found it only retroactive as to proceedings already pending at the effective date of the amendment, March 24, 1972. Compare Place v. Weinberger, 497 F.2d 412 (6th Cir. 1974) with Koger v. Ball, 497 F.2d 702 (4th Cir. 1974); and Womack v. Lynn, F.2d , No. 72-1827, (D.C. Cir. 1974). Retroactivity is applicable in such cases only under the statutory construction of 42 U.S.C. §2000e-16(c), covering only federal employees, which provides that:

Within thirty days of receipt of notice of final action taken by a department, agency, or unit referred to in subsection (a) of this section, or by the Civil Service Commission upon an appeal from a decision or order of such department, agency, or unit on a complaint of discrimination based on race, color, religion, sex or national origin, brought pursuant to subsection (a) of this section, Executive Order 11478 or any succeeding Executive orders, or after one hundred eighty days from the filing of the initial charge with the department, agency or unit or with the Civil Service Commission on appeal from a decision or order of such department, agency, or unit, an employee or applicant for employment, if aggrieved by the final disposition of his complaint, or by the failure to take final action on his complaint, may file a civil action as provided in Section 2000e-5 of this title, in which civil action the head of the department, agency, or unit, as appropriate, shall be the defendant. (emphasis added).

The courts finding retroactivity have held only that charges properly pending before governmental agencies at the time of the 1972 amendments could properly proceed in federal court under the provisions of Title VII. The general

rationale upon which this position is based is well stated in <u>Vymetalik v. Secretary of Commerce</u>, F. Supp. ____, No. 2211-72 (D.D.C. 1974) in which the court analyzed all previous decisions on retroactivity and concluded:

Even those Courts which have found jurisdiction over claims arising or filed administratively prior to March 24, 1972, however, have limited their holdings on retroactivity to matters which were pending administratively on that date. [*] No Court has found unlimited retroactive application of jurisdiction, and there are sound policy reasons for this. To have long since "closed" complaints of discrimination, such as the thirteen-year old matter herein, rise Lazarus-like from the dead to a place on federal court dockets would subject the federal court system to a potential deluge of cases of ripe age, each subject to possible de novo review.

In contrast to the administrative procedures and filing requirements for federal employees under 42 U.S.C. §2000e-16(c), an educational employee in an educational institution had prior to the 1972 amendments no federal administrative agency before which it could process a civil rights grievance. In addition, unlike charges by a federal employee, charges by educational employees of educational institutions are subject to the filing requirements of 42 U.S.C. §2000e-5. 42 U.S.C. §2000e-5 provides:

A charge under this section shall be filed within one hundred and eighty days after the alleged unlawful employment practice occurred and notice of the charge (including the date, place and circumstances of the alleged unlawful employment practice) shall be served upon the person against

whom such charge is made within ten days thereafter, except that in a case of an unlawful employment practice with respect to which the person aggrieved has initially instituted proceedings with a State or local agency with authority to grant or seek relief from such practice or to institute criminal proceedings with respect thereto upon receiving notice thereof, such charge shall be filed by or on behalf of the person aggrieved within three hundred days after the alleged unlawful employment practice occurred, or within thirty days after receiving notice that the State or local agency has terminated the proceedings under the State or local law, whichever is earlier, and a copy of such charge shall be filed by the Commission with the State or local agency. (emphasis added).

This section clearly requires that charges be filed with the Equal Employment Opportunity Commission at the earlier of the various time limits specified. At the latest, this would require that the appellant file a claim with the Equal Employment Opportunity Commission within three hundred days of the alleged unlawful employment practice. Appellant Mortenson alleges that she was terminated on June 1, 1971, more than 27 months prior to the filing of her charges with the EEOC. This filing was not timely and the 1972 amendment in no way cures this defect. In Gordon v. Baker Protective Services, Inc., 358 F. Supp. 867, 868 (N.D. Ill. 1973) the court dismissed an action which had not been timely filed with the EEOC stating:

The statutory period for filing a complaint with the EEOC...is a jurisdictional prerequisite to any subsequent action. The statutory period for filing constitutes, in effect, a limitation by Congress on the right to proceed before the EEOC are in a subsequent suit in a district court. <u>See also Moore v. Sunbeam Corp.</u>, 459 F.2d 811 (7th Cir. 1972).

In Johnson v. University of Pittsburgh, 359 F.

Supp. 1002 (W.D. Pa. 1973), the court considered but did not directly decide the issue of retroactivity since the plaintiff was still employed at the effective date of the 1972 Act.

The court found jurisdiction because the plaintiff was still employed at the time the amendments were made effective. In the case at hand, alleged acts which were completed prior to the effective date of the amendment cannot be covered by an action brought under Title VII.

Employment Opportunity Commission at the time appellant commenced this suit are not properly a part of this cause of action. Mortenson should not be allowed to "boot strap" these issues into this suit by requesting a "right to sue" letter from the EEOC after a motion to dismiss the complaint was filed. The District Court considered all matters properly before it, and was correct in rejecting this attempt by appellant to redeem a defective complaint.

POINT III

JO DAVIS MORTENSON IS NOT A PROPER REPRESENTATIVE OF THE CLASS SHE CLAIMS TO REPRESENT.

Jo Davis Mortenson asks to represent the class of:

"...all women who, because of their sex, and solely because of their sex, have been, are being, and will continue to be denied access to retention to, and promotions and tenure in, faculty positions at Syracuse University in contravention of the United States Constitution and the various acts of Congress which prohibit discrimination based on sex."

Title VII complaints which attempt to qualify as class actions must satisfy the requirements of Rule 23(a). Oatis v. Crown Zellerbach Corp., 398 F.2d 496 (5th Cir. 1968). The burden of satisfying the requirements of Rule 23 fails on those who seek to maintain a class action. Kinzler v. New York Stock Exchange, 53 F.R.D. 79 (S.D.II.Y. 1971); Cannon v. Texas Gulf Sulfur Co., 53 F.k.D. 216 (S.D.N.Y. 1971). A mere repetition of the language of Rule 23, as appellant has done in her complaint, has been held to be inadequate to establish a class action proceeding. One must present a sufficient statement of facts to indicate that each requirement of Rule 23(a) is satisfied as well as one of the requirements of Rule 23(b). Banks v. Lockheed-Georgia Co., 46 F.R.D. 442 (N.D. Ga. 1968); Contract Buyers <u>League v. F. & F.</u> <u>Investment</u>, 48 F.R.D. 7 (N.D. III. 1969).

Jo Davis Mortenson will not "fairly and adequately represent the interests of the class", thus failing to meet the requirement of Rule 23(a) (4). Appellant was terminated from the English Department on June 1, 1971 - more than three years ago. Such a lengthy absence is a significant obstacle to her being fully aware of the employment practices affecting present and future applicants for faculty positions. See Hyatt v. United Aircraft Corp., 50 F.R.D. 242 (D.C. Conn. 1970), in which the court held that individuals discharged more than 2 years earlier could not maintain an action on behalf of persons previously employed, presently employed or to be employed in the future, where they could not be aware of current problems, and were in no position to adequately protect the interests of the entire class. Additionally, her lateness in filing charges with the EEOC is further indication that she will not be a competent representative of the class.

As a member of the English Department, appellant cannot be a proper representative of faculty women across the entire university, in contravention of Rule 23(a) (2), that there are questions of law or fact common to the class, and (a) (3) that the claims or defenses of the representative parties are typical of the claims or defenses of the class.

This conclusion necessarily flows from the fact that decisions

on hiring, firing, promotion, and tenure are predominantly made at the departmental level. University manpower needs in terms of faculty are based upon student enrollment in courses in various departments rather than aggregate student enrollment across the entire university. Legitimately striving toward efficiency, the university must allocate faculty according to demand, such demand measured by particular course enrollment. Decisions regarding hiring, firing, promotion, and tenure, however, weighted by merit and deed, cannot be realistically and practically divorced from such allocation considerations.

In <u>O'Connell v. Teachers College</u>, ____ F. Supp.
____, 73 Civ. 4299 (S.D.N.Y. 1974) the Court denied plaintiff's request for a class action stating:

I conclude, as already stated, that any claims for alleged sex discrimination against Columbia Teachers College would necessarily involve trials of the individual issues regarding the particular employment or promotion problem. Class action treatment is not practicable or desirable, whether the matter is considered under subdivision (b)(3) of Rule 23 (the provision for class actions where common issues predominate over individual issues), or subdivision (b)(2) (the provision for injunctive relief where the party opposing the class has acted "on grounds generally applicable to the class").

The qualifications of members of the English Department are unique to that department, just as they are unique for the Chemistry Department, Economics Department, History Department, etc. (Furthermore, Mortenson was particularly unique as a candidate for tenure in the English Department as a specialist and potential senior professor in the English Renaissance.) Faculty members cannot transfer from one department to another without acquiring the requisite knowledge, skills, and credentials to teach in the other department. Appellant has not shown that the claim, as a former member of the English Department, is typical of the claims of the class she seeks to represent, a class which encompasses all departments of the University. See Johnson v. Lillie Rubin Affiliates, Inc., F. Supp. , No. 5943 (M. D. Tenn. 1973), in which the court found that Rules 23(a) (3) and (a) (4) were not met where a discharged employee failed to establish that she belonged to the class of all blacks who were denied employment in any capacity solely because of their race. The court made this determination from the fact that the plaintiff was only qualified for the position of stockgirl and, therefore, could only protect the interests of stockgirls.

See also Kinsey v. Legg, Mason & Co., 60 F.R.D. 91 (D.D.C. 1973). Plaintiff Kinsey, rejected for a job of

securities salesman, was not permitted to maintain a class action against defendant brokerage house on behalf of all black applicants for retail securities sales positions, as well as, institutional sales positions, and non-sales positions, since the record revealed diverse considerations with respect to qualifications, salaries, and duties of retail securities salesmen and non-sales personnel.

"The divergent factors and qualifications considered by Legg, Mason in its decision whether or not to hire an applicant for a position as a retail securities salesman, institutional salesman or in a non-sales capacity, precludes plaintiff herein from representing an ill-defined class that would encompass prospective employees of all job classifications. See Bradley v. Southern Pacific Co., Inc., 51 F.R.D. 14, (S.D. Tex. 1970). The bald assertion that there are members of a class who share the same or similar grievances as plaintiff does not comply with the "typicality' requirement of Rule 23(a) (3)."

Id. at 100.

The court concluded that the plaintiff had satisfied Rule 23(a) (3) only to the limited extent that his claims might be typical of a class of blacks allegedly refused jobs as retail securities salesmen because of their race.

Finally, see Calhoun v. Riverside Research Institute,

F. Supp. ____, 71 Civ. 2734 (S.D.N.Y. 1972), in which
the court ruled that a black professional employee allegedly
denied promotion on racial grounds, could not maintain a
class action on behalf of all black employees, professionals,

as well as, non-professionals, in that non-professional employees were not qualified for consideration for promotion to professional positions and, thus, the typicality requirement was not fulfilled.

Mortenson has not shown the class to be so numerous that the joinder of all members is impracticable, especially when the scope of her class is limited to the English Department. Thus, she does not meet the requirement of Rule 23(a)(1).

In contravention of Rule 23(a)(2), Mortenson has not shown that there are questions of law or fact common to the class she seeks to represent where she alleges she was in the unique position of being denied tenure because of a nepotism rule in the English Department, and there is no suggestion that said rule was applied discriminatorily as between male faculty and female faculty.

Nor was Mortenson ever denied access to a faculty position at Syracuse University. She was hired in 1966 as an Assistant Professor in the English Department. Consequently, she cannot adequately represent the interests of those women allegedly not hired on the basis of their female sex. Appellant's primary interest is in attaining tenure, an interest which, in light of the limited availability of such positions, may be directly in opposition to that of a woman seeking faculty appointment.

Assuming, arguendo; that her long absence from faculty employment is not fatal, Mortenson would be a proper representative only of the class of all women married to male faculty members who, because of their sex, and solely because of their sex, have been, are being, and will continue to be denied retention to, and promotions and tenure in, faculty positions in the English Department of Syracuse University. Such a class is not so large that joinder is impracticable.

CONCLUSION

FOR THE FOREGOING REASONS, THE ORDER OF THE DISTRICT COURT DISMISSING THE COMPLAINT SHOULD BE AFFIRMED.

Respectfully submitted,

BOND, SCHOENECK & KING Attorneys for Appellees Office and P.O. Address One Lincoln Center Syracuse, New York 13202 Tel. (315) 422-0121

OF COUNSEL:

William F. FitzPatrick, Esq. David N. Sexton, Esq.



SPAULDING LAW PRINTING CO. ESTABLISHED

313 MONTGOMERY STREET . SYRACUSE, N.Y. 13202 . PHONE AC 315 HA2-4805

RUSSELL D. HAY, owner

AFFIDAVIT OF SERVICE

RE:	JO DAVIS MORTENSON	\mathbf{v}_{ullet}	SYRACUSE	UNIVERSITY,	et al.	(Docket No.	74-2092)

STATE OF NEW YORK)
COUNTY OF ONONDAGA) ss.:
CITY OF SYRACUSE)

EVERETT J. REA , being duly sworn, deposes and says:

That he is associated with Spaulding Law Printing Company of Syracuse, New York, and is over twenty-one years of age.

That at the request of BOND, SCHOENECK & KING, Attorneys for Appellees,

(3) copies of the printed [Brief] [Brief] [Appendix of the above-entitled case addressed to:

JAMES I. MEYERSON, ESQ. 1790 Broadway 10th Floor New York, N. Y. 10019

by depositing true copies of the same securely wrapped in a postpaid wrapper in a Post Office maintained by the United States Government in the City of Syracuse, New York on October 30, 1974.

Sworn to before me this 30th

day of October . 1974

Commissioner of Deeds

Everett J. Rea